

State Water Resources Control Board
Division of Financial Assistance

Financial Assistance Application

for

State Revolving Fund Loan Program (SRF)
Water Recycling Construction Program (WRCP)
Small Communities Grant Program (SCG)

This application package should be submitted to the address listed below at the completion of Facilities Planning. An agency may request funding from more than one program. The application, including attachments, is intended to provide all information and documents needed for facilities plan approval and presentation of the project to the State Water Resources Control Board for a preliminary funding commitment. Updated information will be required to be submitted later.

Please refer to the adopted Policies for program specific information.

Submit the completed application package to:

State Water Resources Control Board
Division of Financial Assistance
1001 I Street, 16th Floor
P.O. Box 944212
Sacramento, CA 94244-2120

ATTN: Mr. Christopher Stevens, Supervising Engineer

State Water Resources Control Board
Division of Financial Assistance

Financial Assistance Application Checklist

Submit your Financial Assistance Application with all the documents listed below. Upon review and acceptance of your submittal, the Division of Clean Water Programs will issue a Facilities Plan or a Concept Approval Letter and will present the project to the State Water Resources Control Board for a preliminary loan or grant commitment.

Attach- ment No.	Title of Attachment	Application Reference
<u>Submit the following documents for all Financial Assistance Programs</u>		
1	Project Description	Section II.1
2	Sources of Funds for Capital Costs	Section II.7
3	Legal Authority	Section III.1
4	Application Authorization (Authorizing Resolution)	Section III.2
5	Project Report or Facilities Planning Document	Section III.4
6	Environmental Review	Section III.5
7	Draft Revenue Program	Section III.6
8	Project Schedule	Section III.7
9	Regional Board Requirements (Waste Discharge Req.)	Section III.8
10	Real Property Acquisition	Section III.9
<u>SRF Loan Program only (include, in addition to the items 1 through 10 above, the following documents)</u>		
11	Water Conservation Plan	Section IV.A.1
12	Dedicated Source of Revenue	Section IV.A.2
13	Certification of Compliance With Federal Laws and Authorities (Federal Laws)	Section IV.A.3
14	Pre-award Compliance Report (Civil Rights Compliance)	Section IV.A.4
<u>WRLP only (include, in addition to the items 1 through 10 above, the following documents)</u>		
15	Reclaimed Water User Assurances	Section IV.B.3

MODEL RESOLUTION

BE IT RESOLVED by the _____ (*Governing Board of the Agency*)
 that the _____ (*Title of Authorized Representative*)
 hereby authorized and directed to sign and file, for and on behalf of the _____
 _____ (*Agency Name*), a Financial Assistance Application for a
 loan/grant from the State Water Resources Control Board in the amount not to exceed
 _____ (*Amount*), for the planning, design, and construction of _____
 _____ (*Project Title or Description*)
 _____, and

BE IT RESOLVED that the _____ (*Agency Name*)
 hereby agrees and further does authorize the aforementioned representative or his/her
 designee to certify that the Agency has and will comply with all applicable state and
 federal statutory and regulatory requirements related to any federal and state loan/grants
 received, and

BE IT FURTHER RESOLVED that the _____ (*Authorized Representative*)
 or his/her designee of the _____ (*Agency Name*)
 is hereby authorized to negotiate and execute a loan/grant contract and any amendments
 or change orders thereto and certify loan/grant disbursements on behalf of the
 _____ (*Agency Name*).

CERTIFICATION

I do hereby certify that the foregoing is a full, true, and correct copy of a resolution duly
 and regularly adopted at a meeting of the _____ (*Governing Board of the Agency*)
 _____ held on _____ (*Date*).

(Seal)

(Clerk or Authorized Record Keeper of the Governing Board of the Agency)

**Sample Certification of Compliance
With Federal Laws and Authorities**

Environmental Authorities

1. Archeological and Historical Preservation Act of 1974, Pub. L. 86-523, as amended, Pub. L. 93-291 16 USC § 469a-1.
2. Clean Air Act, Pub. L. 84-159, as amended.
3. Coastal Barrier Resources Act, Pub. L. 97-348, 96 Stat. 1653; 16 USC § 3501 et seq.
4. Coastal Zone Management Act, Pub. L. 92-583, as amended; 16 USC § 1451 et seq.
5. Endangered Species Act, Pub. L. 93-205, as amended; 16 USC § 1531 et seq..
6. Environmental Justice, Executive Order 12898.
7. Floodplain Management, Executive Order, 11988 as amended by Executive Order 12148.
8. Protection of Wetlands, Executive Order 11990, as amended by Executive Order No. 12608.
9. Farmland Protection Policy Act, Pub. L. 97-98; 7 USC § 4201 et seq.
10. Fish and Wildlife Coordination Act, Pub. L. 85-624, as amended.
11. National Historic Preservation Act of 1966, Pub. L. 89-665, as amended, 80 Stat. 917 (1966) 16 USC § 470 et seq.
12. Safe Drinking Water Act, Pub. L. 93-523, as amended; 42 USC § 300f et seq.
13. Wild and Scenic Rivers Act, Pub. L. 90-542, as amended, 82 Stat. 913; 16 USC § 1271 et seq.
14. Essential Fish Habitat Consultation. Pub. L. 94-265, as amended, 16 USC § 1801 et seq.
15. Recycled Materials. Executive Order 13101; Section 6002 Resource Conservation and Recovery Act – 42 USC § 6962.

Economic and Miscellaneous Authorities

1. Demonstration Cities and Metropolitan Development Act of 1966, Pub. L. 89-754, as amended, Executive Order 12372/ 42 USC § 3331 et seq.
2. Procurement Prohibitions under Section 306 of the Clean Air Act and Section 508 of the Clean Water Act, including Executive Order 11738, Administration of the Clean Air Act and the Federal Water Pollution Control Act with Respect to Federal Contracts, Grants, or Loans; 42 USC § 7606; 33 USC § 1368.
3. Uniform Relocation and Real Property Acquisition Policies Act, Pub. L. 91-646, as amended; 42 USC §§4601-4655
4. Debarment and Suspension, Executive Order 12549; 40 CFR Part 32. The Excluded Parties List System can be found at <http://epls.arnet.gov> .

5. Preservation of Open Competition and Government Neutrality Towards Government Contractors' Labor Relations on Federal and Federally Funded Construction Projects, EO 13202, as amended by EO 13208.
6. Hotel and Motel Fire Safety Act of 1990.

Social Policy Authorities

1. Age Discrimination Act of 1975, Pub. L. 94-135; 42 USC § 6102.
2. Title VI of the Civil Rights Act of 1964, Pub. L. 88-352.1; 42 USC § 2000d
3. Sex Discrimination. Section 13 of the Federal Water Pollution Control Act Amendments of 1972, Pub. L. 92-500 (the Clean Water Act); 33 USC § 1251
4. Section 504 of the Rehabilitation Act of 1973, Pub. L. 93-112 (including Executive Orders 11914 and 11250); 29 USC § 794.
5. Equal Employment Opportunity, Executive Order 11246.
6. Women's and Minority Business Enterprise, Executive Orders 11625, 12138, and 12432.
7. Section 129 of the Small Business Administration Reauthorization and Amendment Act of 1988, Pub. L. 100-590.
8. Anti-Lobbying Provisions (40 CFR Part 34). Borrower agrees to submit certification and disclosure forms as requested by the State Water Resources Control Board or the USEPA.
9. Anti-Litigation Provisions (OMB Circular A-21, A-87, or A-122).

CERTIFICATION

I certify that _____
(Municipality)
has, or will, comply with the above list of federal laws and authorities.

Signature of Authorized
Representative or Designee

(Date)

United States Environmental Protection Agency Washington, DC 20460 EPA Pre-award Compliance Review Report for Wastewater Treatment Construction Loans		Form Approved OMB No. 2090-0014
Note: Read Instructions on Reverse Before Completing Form		
I. A. Applicant (<i>Name and State</i>)		B. EPA Project No.
II. A. Are any civil rights lawsuits or complaints pending against applicant? If "Yes", list those complaints and the disposition of each complaint.		
II. B. Have any civil rights compliance reviews been conducted during the two years prior to this application for activities which would receive EPA assistance? If "Yes", list those compliance reviews and status of each review.		
III. A. Population Characteristics		Number of People
1. a. Population of Entire Service Area		
b. Minority Population of Entire Service Area		
2. a. Population Currently Served		
b. Minority Population Currently Being Served		
3. a. Population to be Served by Project		
b. Minority Population to be Served by Project		
4. a. Population to Remain Without Service		
b. Minority Population to Remain Without Service		
B. If entire community under the applicant's jurisdiction is not served under the existing facilities or will not be served under the proposed plan, give reasons why.		
C. Give the schedule for future construction by which treatment system service will be provided to all inhabitants within applicant's jurisdiction. If there is no schedule, explain why.		
D. Is another Federal Agency being asked or already providing financial assistance to any construction associated with this project? If "Yes", list the other Federal Agency(s), describe the associated work and the dollar amount of assistance.		
E. Will all new facilities or alterations to existing facilities financed by this grant be designed and constructed to be readily accessible and useable by handicapped persons? If "No", explain how a regulatory exception (<i>40 CFR 7.70</i>) applies.		
IV. Certification I certify that the information given above is true and correct to the best of my knowledge or belief. (<i>A willfully false statement is punishable by law; U.S. Code, Title 18, Section 1001</i>)		
A. Signature of Authorized Official	B. Title of Authorized Official	C. Date
For the U. S. Environmental Protection Agency Use		
	Regional Director of Civil Rights	Date

INSTRUCTIONS

General

Grantees must comply with the following statutes by virtue of receiving the grant.

Title VI of the Civil Rights Act of 1964 provides that no person in the United States shall, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance. The Act goes on to explain that the title shall not be construed to authorize action with respect to any employment practice of any employer, employment agency, or labor organization (except where a primary objective of the Federal financial assistance is to provide employment).

Section 13 of the 1972 Amendments to the Federal Water Pollution Control Act provides that no person in the United States shall, on the ground of sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving financial assistance under the Federal Water Pollution Control Act, as amended. Employment discrimination on the basis of sex is prohibited in all such programs or activities.

Section 504 of The Rehabilitation Act of 1973 provides that no otherwise qualified handicapped individual shall solely by reason of their handicap be excluded from participation in, be denied the benefit of or be subject to discrimination under any program or activity receiving Federal financial assistance. Employment discrimination on the basis of handicap is prohibited in all such programs or activities.

The Age Discrimination Act of 1975 provides that no person on the basis of age shall be excluded from participation in, be denied the benefits of, or be subject to discrimination under any program or activity receiving Federal financial assistance. Employment discrimination is not covered. Age Discrimination in employment is prohibited by the Age discrimination in Employment Act administered by the Equal Employment Opportunity Commission.

Title IX of the Education Amendments of 1972 provides that no person should, on the basis of sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any education program or activity receiving Federal financial assistance. Employment discrimination on the basis of sex is prohibited in all such education programs or activities. Note: an education program or activity is not limited to only those conducted by a formal education institution.

The primary purpose of the treatment works construction grant program under the Federal Water Pollution Control Act, as amended, is development of water pollution control facilities.

Accordingly, the information on this form is required to enable the U.S. Environmental Protection Agency to determine whether prospective treatment works construction grantees are developing treatment system projects on a nondiscriminatory basis as required by the above referenced statutes.

Submit this form with the original and required copies of applications, requests for extensions, requests for increase of funds, etc. Updates of information are all that are required after the initial application submission. If any items is not relevant to the project for which assistance is requested, write "NA" for "Not Applicable."

ITEMS

- I. Self-explanatory.
- II. A. Civil Rights lawsuits means any lawsuit or complaint alleging discrimination on the basis of race, color, national origin, sex, age, or handicap pending against the applicant or entity which actually benefits from the grant. For example, if a city is the named applicant but the grant will actually benefit the Department of Sewage, only civil rights lawsuits involving the Department of Sewage whether named as a party or not should be listed.
- II. B. Civil Rights compliance review means any review assessing the applicant's compliance with laws prohibiting discrimination on the basis of race, color, national origin, sex, age, or handicap. If any part of the review covered the entity which actually benefits from the grant, it should be listed. If it did not, the review should not be listed.
- III. A. Give population of Applicant's treatment system jurisdiction, broken out by categories as specified.
- III. B. If there is a significant disparity between minority and nonminority populations to receive service, not otherwise satisfactorily explained, the Regional office may require a map which indicates the minority and nonminority population served and not served as well as the minority and nonminority population served by this project.
- III. C. "Jurisdiction" means the geographical area over which Applicant has authority to provide treatment works service.
- III. D.&E. Self-explanatory.
- IV. Self-explanatory.